

Kentucky Commission on Community Volunteerism and Service
PROGRAM MONITORING – RISK ASSESSMENT
In preparation for the 2016-2017 Program Year

AGENCY INFORMATION

Subgrantee:

Program:

Program Director (s) / Staff:

Result of Risk Assessment

Assessed Risk Measure:

High/Level 3	=	(51 and above)
Medium/Level 2	=	(31 to 50)
Low/Level 1	=	(30 or less)

Number of Programmatic Compliance Reviews:

Number of Site Visits Reviews:

Risk Assessment conducted by:

Date:

All programs and programs receiving a score of 30 or less will receive a minimum of 1 (one) Programmatic Compliance Review, which could be a face to face visit or a desk audit, and 1 (one) Site Visit Review. Scores of 31 to 50 will receive a minimum of 1 (one) Programmatic Compliance Review with the possibility of additional reviews dependent on findings/deficiencies and corrective action taken. The same will hold true for Site Visits Reviews. Scores of 51 or more will receive a minimum of 2 (two) Programmatic Compliance Reviews and 2 (two) Site Visit Reviews. As findings/deficiencies are corrected, the program will be reassessed and a new risk score assigned. Training and Technical Assistance is available to all programs in order attain/maintain the high quality expected.

In order to maintain high quality AmeriCorps programs within the Commonwealth of Kentucky and to assure compliance with the standards set forth by the Corporation for Community and National Service, the Commission will utilize a risk-based approach to programmatic monitoring. Each sub-grantee will be assigned a risk level based on the number of risk factors present at any given time during a program year. **All first year programs will be considered high risk and will receive more on-site compliance monitoring and site visits.**

Please circle only 1 (one) score per set of questions:

Risk Categories

	Score
Results of prior compliance monitoring/site visits	
• No significant findings	1 <input type="checkbox"/>
• Some minor findings	2 <input type="checkbox"/>
• Moderate findings	3 <input type="checkbox"/>
• Some significant findings	4 <input type="checkbox"/>
• Numerous significant findings	5 <input type="checkbox"/>
Implementation of corrective actions in a timely manner	
• Response to findings timely/ corrective actions implemented in a timely manner	1 <input type="checkbox"/>
• Response to findings timely/ corrective actions incomplete or not done in a timely manner	2 <input type="checkbox"/>
• Response to findings late/ corrective actions implemented late	3 <input type="checkbox"/>
• Response to findings late/ corrective actions not addressed	4 <input type="checkbox"/>
• Response to findings late/ no corrective actions taken	5 <input type="checkbox"/>
AmeriCorps/National Service experience	
• 2 nd grant and more – original director	1 <input type="checkbox"/>
• 2 nd grant and more – not original director	2 <input type="checkbox"/>
• 1 st grant – original director	3 <input type="checkbox"/>
• High staff turnover	4 <input type="checkbox"/>
• New program/ New Director	5 <input type="checkbox"/>
Progress Reports	
• Timely Submission/ Effective Reporting	1 <input type="checkbox"/>
• Timely Submission/ Adequate Reporting	2 <input type="checkbox"/>
• Timely Submission/ Inadequate Reporting	3 <input type="checkbox"/>
• Late Submission/ Adequate Reporting	4 <input type="checkbox"/>
• Late Submission/ Inadequate Reporting or Non-submittal	5 <input type="checkbox"/>
Timeliness enrolling/exiting members in the AmeriCorps Portal for program year	
• Members enrolled/exited within 30-day limit	1 <input type="checkbox"/>
• Majority of members enrolled/ exited within 30-day limit	2 <input type="checkbox"/>
• Majority of members enrolled /exited past 30-day limit	3 <input type="checkbox"/>
• Majority of members enrolled/exited more than 60-days of member enrollment /exit	4 <input type="checkbox"/>
• Member forms not kept up to date	5 <input type="checkbox"/>
Timeliness/accuracy of member's time logs	
• Time logs submitted monthly/ some revisions but not excessive/ good documentation	1 <input type="checkbox"/>
• Time logs submitted monthly/ many revisions/ good documentation	2 <input type="checkbox"/>
• Time logs not submitted regularly/ some revisions/ adequate documentation	3 <input type="checkbox"/>
• Time logs not submitted regularly/ some revision/ inadequate documentation	4 <input type="checkbox"/>
• Member time logs not submitted/ excessive revisions/ inadequate documentation	5 <input type="checkbox"/>
Member Time Log Monitoring	
• Program staff reviews member timesheets in a timely manner verifying accuracy of hours served; appropriateness of service; initials and dates corrections	1 <input type="checkbox"/>
• Program staff reviews timesheets for accuracy of hours and appropriateness of service.	2 <input type="checkbox"/>
• Program Officer, in random sampling of member time logs, finds uncorrected errors in addition of hours.	3 <input type="checkbox"/>
• Program Officer, in random sampling of member time logs, notes questionable service activities.	4 <input type="checkbox"/>
• Program Officer, in random sampling of member time logs, finds uncorrected errors in addition of hours and notes questionable activities.	5 <input type="checkbox"/>

Program's history in meeting and/or exceeding performance measures

- Program met or exceeded all performance measures. 1 ☐
- Program met or exceeded most performance measures. 2 ☐
- Program met most performance measures. 3 ☐
- Program met some performance measures; no explanation given for those not met. 4 ☐
- Program met few performance measures; reporting lacking. 5 ☐

Size of program/ number of sites

- Small program/ few service sites/ less than 20 members. 1 ☐
- Medium program/ medium number of service sites/ 20-50 members. 2 ☐
- Medium program/ many service sites/ 20-50 members. 3 ☐
- Large program/ many service sites/ 50+ members/ medium service area. 4 ☐
- Large program/ many service sites/50+ members/ large service area. 5 ☐

Member Enrollment

- Program used all slots granted by enrollment deadline. 1 ☐
- Program used all slots; some after enrollment deadline. 2 ☐
- Program did not use 10%-20% of slots granted. 3 ☐
- Program did not use 25%-50% of slots granted. 4 ☐
- Program did not use 55% or more of slots granted. 5 ☐

Member Attrition

- 95%-100% of the allotted members earned full educational awards. 1 ☐
- 85%-95% of the allotted members earned full educational awards; some converted and/or partial awards. 2 ☐
- 75%-85% of the allotted members earned full educational awards; some converted and/or partial awards. 3 ☐
- 50%-75% of the allotted members earned full educational awards; some converted and/or partial awards. 4 ☐
- Less than 50% of the allotted members earned full educational awards. 5 ☐

Member Recruitment/ Timely Enrollment

- Program recruited and enrolled all members in order that they may serve a full program year. 1 ☐
- Program recruited and enrolled a majority of the members before the end of the 1st month. 2 ☐
- Some slots filled during the 2nd month of the program. 3 ☐
- Some slots filled during the 3rd month of the program; conversion to part-time positions. 4 ☐
- Some slots were not filled. 5 ☐

Staff/member ratio: 1 full-time staff per 30 MSYs

- Number of staff exceeds ratio. 1 ☐
- Number of staff meets ratio. 2 ☐
- Number of staff does not meet ratio but is adequately effective. 3 ☐
- Staff time split with other duties. 4 ☐
- Number of staff inadequate to manage program. 5 ☐

Responsiveness of program to Commission requests for corrections—documents include but not limited to: Progress Reports, GARP feedback response, reimbursement request....

- Program submits corrected document(s) in a timely manner. 1 ☐
- Program usually submits corrected document(s) after deadline. 2 ☐
- Program usually submits document(s) on time but incomplete. 3 ☐
- Program usually submits document(s) late and incomplete. 4 ☐
- Program must be reminded of request for document(s). 5 ☐

Responsiveness of program to "other" Commission requests.

- Program complies with all requests in a timely manner. 1 ☐
- Program complies with all requests but is late at times. 2 ☐
- Program complies with some requests in a timely manner. 3 ☐
- Program complies with some requests but is usually late. 4 ☐
- Program complies with few requests in a timely manner. 5 ☐

Program Director / Staff participates in commissioned-sponsored training/ meetings.

- Program Director/Staff participates in all required training/ meetings/conference calls. 1 ☐
- Program Director/Staff participates in most of the required training/meetings/conference calls. 2 ☐
- Program Director/Staff participates in some of the required training/meetings/conference calls. 3 ☐
- Program Director does not participate in required conference calls 4 ☐
- Program Director does not participate in required training/meetings. 5 ☐

KCCVS/ Program contact.

- Program Director contacts and updates KCCVS staff on a regular basis; returns calls and e-mails. 1 ☐
- Program Director contacts/updates KCCVS staff at times; returns calls and e-mails. 2 ☐
- Program Director contacts and updates KCCVS staff at times; does not return calls and e-mails. 3 ☐
- Program Director rarely contacts or updates KCCVS staff; does return calls and e-mails. 4 ☐
- Program director rarely contacts or updates KCCVS staff; does not return calls and e-mails. 5 ☐

Complaints or calls of concerns to KCCVS from stakeholders (i.e. members, partnering agencies, public).

- Zero or small indication of concern/risk. 1 ☐
- Some calls/some indication of concern/risk. 2 ☐
- Some calls/moderate indication of concern/risk. 3 ☐
- Some calls/ high indication of concern/risk. 4 ☐
- Numerous calls/very high indication of concern/risk. 5 ☐

Member Training

- Program provides Orientation and numerous applicable/valuable training on a regular basis; members meet monthly. 1 ☐
- Program provides Orientation and numerous applicable/valuable training on a regular basis; members contacted monthly; members meet bi-monthly. 2 ☐
- Program provides Orientation and some applicable/valuable training; members contacted monthly; members meet quarterly. 3 ☐
- Program provides Orientation and some applicable/valuable training; members quarterly. 4 ☐
- Program provides Orientation and some applicable/valuable training but no set schedule; members meet as needed. 5 ☐

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7/29/12

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